Continuity of Operations Planning System
Project Plan

Prepared by: Janell Quinlan

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Purpose of the Project Plan

The purpose of the Project Plan is to formalize the vision, scope and project methodology to ensure the most coordinated and comprehensive implementation of the new continuity of operations planning system. This detailed project plan will include details on the project scope, schedule, cost, risk, human resources, procurement, quality, and communications management.

Project Overview

Background and Purpose

In support of the National Strategy for Homeland Security, Governor Hoeven on July 30, 2002, issued a directive to all state agencies to develop a continuity of operations plan to ensure the continuity of state government in the event of a manmade or natural disaster. A Continuity of Operations Plan (COOP) is a comprehensive preparation of consistent actions to be taken before, during, and after a disaster.

To assist State agencies and facilities in this effort, Governor Hoeven established the Continuum of Government (COG) Team. The COG Team is currently comprised of representatives from the Office of the Governor, Emergency Management, Highway Patrol, Department of Health, Information Technology Department, Facilities Management Division, and Risk Management Division. The Risk Management Division of the Office of Management and Budget (OMB) serves as chairperson of the COG Team and sponsor of the project.

Currently, not all agencies have formal recovery plans, and those that do have them do not have plans that work in conjunction with the plans of the other agencies. As agencies began to submit their individual COOP plans in a word-processed format, it became apparent that no system was currently in place to integrate the vast amount of plan information into a single, coherent, usable State COG plan. The Continuity of Operations Planning System Project was initiated in February 2003 to expedite the development of statewide continuity of operations plans as required by the Governor. The Governor's mandate indicates that the agencies are to have a coordinated recovery capability. A software application is being sought as past history has proven that manually developed and maintained recovery plans are incomplete, difficult to maintain, and hard to audit to ensure their timely release. The reason for obtaining software is to fill the voids that currently exist in the development of an agency or a statewide disaster recovery capability.

The purpose of this project is to implement the use of customized software to guide state agencies in the development of their continuity of operations plans. Upon the completion of the uniform plans among the agencies, a continuum of government plan for the state of North Dakota will be developed; however the continuum of government plan is not part of this project.

Project Approach

General Strategy

The work of this project is divided into five segments:

- In the Planning Segment, the overall strategy for the project is developed.
- During the Assessment Segment, the Request for Proposal process is implemented to access possible software applications.
- In the Award Segment, a contract is entered into for a software application.
- For the Customizing Segment, a Project Pilot Team was organized to provide input and a Project Working Group was organized to adapt the software to agencies needs.
- The Training and Implementation Segment is done in monthly and scheduled increments to integrate the software into all agencies.

Project Management Approach

There are countless methods for performing project management. Project management helps overcome many issues facing organizations when performing projects, such as late completion, budget discrepancies or unmet requirements. Because of the multitude of agencies involved in this project there will be multiple levels to the project management process.

The COG Team will serve as the oversight committee with Risk Management as chairperson serving as the sponsoring agency. An appointed Project Manager will assist the COG Team with the implementation of this project.

The Project Manager will have assistance from a Project Working Group and a Project Pilot Team in customizing and testing the software along with mentoring other state agencies. The ITD Oversight Analyst will also provide guidance to the Project Manager and the COG Team.

The approval of the Project Charter, Project Business Case and Project Plan by the COG Team will ensure the issues of the project are addressed and deadlines are met.

Project Definitions

The following is a list of acronyms, terms and definitions to be used in this project. The definitions presented here are only to assist in a clear understanding of what is discussed in this project.

COG – Continuum of Government

COOP – Continuity of Operations Plan

LDRPS – Living Disaster Recovery Planning System

ND COG Team – state agencies appointed by the Governor to oversee the development and completion of COG.

ND COG/COOP Project Manager – provide project management for the COG Team.

Project Manager – assist the COG Team in ensuring that the project is implemented and completed.

Project Pilot Team – seventeen state agencies chosen to assist in the development of the customization of LDRPS.

Project Work Group – staff from Department of Transportation (DOT), Division of Emergency Management (DEM), Information Technology Department (ITD) and Risk Management (RM) that is doing the customizing of the software.

Request for Proposal Review Committee – staff from Department of Health (DOH), DOT, ITD, RM and Workforce Safety and Insurance (WSI) assigned to evaluate software and make recommendations.

Project Scope Statement

The scope statement provides a documented basis for making future project decisions and for confirming or developing a common understanding of project scope among stakeholders.

Project Purpose

The purpose of this project is to implement the use of customized software to guide state agencies in the development of their continuity of operations plans.

Project Objectives, Activities and Deliverables

Project Objectives are the quantifiable criteria that must be met for the project to be successful. The Objectives below followed by the Activities and Deliverables are organized in chronological order.

The project will meet the following objectives:

- Enable all state agencies to have access to customized software by installing a web version on the COG server in October 2003.
- Establish a process for ongoing plan and software maintenance by October 2003.
- Enable state agencies to develop comprehensive continuity of operations plans through an integrated software application by September 2004.
- Work with Connect ND to import employee, vendor and asset information and establish ongoing interfaces by September 2004.

Activities and deliverables accomplished to date.

	Completion Date	Activities	**Deliverables**
	March 25, 2003		RFP Review Team recommendation of software application acquisition and adopted by COG Team
	April 23-24, 2003	Staff from DEM and RM trained on LDRPS in PA	
	April 30, 2003	LDRPS demonstration and COOP process explained at Risk Management Seminar	
	June 4 – July 16, 2003	Project Pilot Team met weekly to share ideas for customization	
	July 14-15, 2003	Project Work Group received Superuser training on LDRPS	
	July 22-25, 2003	Project Work Group met with Strohl's consultant to get info on customizing	
	July 28 – Aug. 1, 2003	Project Pilot Team trained on LDRPS	
	July 18, 2003		COG Website went on line

Activities and deliverables scheduled to be completed.

	Scheduled Completion Date	Activities to be Completed	Deliverables to be Completed
	September 2003		ITD order and install COG server
	September 24, 2003		Completion of customization and implementation by the Project Pilot Team
	October 2003		Establish a process for ongoing plan and software maintenance
	October 2003		Install web version of software on COG server
	October 2003 – February 2004	Monthly training for state agencies	
	June 30, 2004		COOP first drafts completed by all state agencies
	July 2004		Import of employee, vendors, and asset information from Connect ND
	September 2004		COOP will be finalized by all state agencies

Project Schedule

The project schedule includes planned start and finish dates for project activities or tasks.

	Tasks and Activities	Planned Start	Planned Finish
1	COG Team decides to research software applications	02/25/03	04/15/03
2	Vendors submit proposal and demonstrate software applications.	03/10/03	03/20/03
3	RFP Committee reviews and recommends LDRPS.	03/10/03	03/27/03
4	Project Sponsor negotiates and signs contract for software.	04/01/03	04/15/03
5	RM & DEM send staff to software training.	04/23/03	04/24/03
6	LDRPS and COOP presented at Risk Management Seminar.	04/30/03	05/01/03
7	COG Team determines Project Pilot Team members.	05/15/03	05/15/03
8	Project Pilot Team conducts weekly meetings.	06/04/03	07/16/03
9	Quarterly Large Project Report submitted.	07/11/03	10/15/04
10	Project Work Group receives LDRPS training.	07/14/03	07/15/03
11	Project Work Group meets with Strohl's consultant for training.	07/22/03	07/25/03
12	Project Pilot Team receives LDRPS training.	07/28/03	08/01/03
13	Project Work Group works customizing of software.	08/04/03	09/30/04
14	Asset Development Committee meets.	08/28/03	08/28/03
15	Project Manager meets with ITD Oversight Analyst.	08/20/03	10/01/04
16	Project Manager meets with potential training facilities.	09/05/03	09/10/03
17	COG Team meeting to approve charter and business case.	09/23/03	09/23/03
18	Project Sponsor reports to IT Legislative Committee.	09/26/03	09/26/03
19	Project Work Group attends Strohl's user group training.	09/27/03	10/01/03
20	Quarterly COG Team meetings.	10/01/03	12/31/04
21	BIA Training for Pilot Team	10/29/03	10/31/03
22	Customizing of software so Project Pilot Team can start plans.	10/31/03	09/30/04
23	Initial draft of COOP completed.	10/31/03	06/3003
24	LDRPS training for state agencies.	11/17/03	11/21/03
24	LDRPS training for state agencies.	12/08/03	12/12/03
25	LDRPS training for state agencies.	01/05/04	01/09/04
26	LDRPS training for state agencies.	02/02/04	02/06/04
27	LDRPS training for state agencies.	03/08/04	03/12/04
28	LDRPS training for state agencies.	04/12/04	04/16/04
29	Final draft of COOP completed.	10/10/03	09/30/04

Project Costs

The project's cost estimates are a quantitative assessment of the likely costs of the resources required to complete the project activities. As the system design is completed and the system test is conducted, additional requirements might be identified.

This project is being funded by mutual sources.

Action	Funding Source	Amounts
Strohl Systems LDRPS	RM, ITD, Homeland Security Grant	$228,358.00
Initial LDRPS Training in PA in April	DEM, RM	$2,438.44
Training of Work Group and Project Pilot Team	Homeland Security Grant	$20,000.00
ND COG/COOP Project Manager	DEM	$53,196
Project Work Group	DEM, DOT, ITD, RM	Varies by agency
Training of state agencies	Homeland Security Grant	$180,000 (Estimate, waiting approval)
Development of COOP	Each state agency	Varies by agency
COG Website	Homeland Security Grant	$7,481.00 (Estimate)
COG Dedicated Server	Homeland Security Grant	$11,336.92 (Estimate)
Total (Estimate)	**All Funding Sources**	**$502,810.36 (Estimate)**

A copy of the most current budget can be found in Appendix I – A. This budget gives a detailed break down of costs and will be updated as grants are approved and payments are made.

Project Human Resources

Roles and Responsibilities

Project roles (who is what) and responsibilities (who does what) will be assigned to the appropriate project stakeholders.

Groups	Agencies	How are they affected, or how are they participating?
ND COG Team	Office of the Governor, DEM, DOH, Facility Management, Highway Patrol (HP), ITD, RM	Serve as the team that oversees the process of COG with Risk Management as chair.
Oversight Analyst	ITD	Reviews project for consistency with enterprise architecture, compliance with IT standards and timeliness with project schedule.
Project Sponsor	RM	As chair of the COG Team serves as the sponsor agency for the project.
ND COG/COOP Project Manager	DEM	Provides a staff member to serve as the project manager to see that the directives of the COG Team are met. This person works with the Strohl Systems staff, each state agency, sets up training, develops reports, keeps project and budget on schedule and oversees the Project Work Group and Project Pilot Team.
Project Pilot Team	AG, Bank of ND, DEM, DOH, DOT, Department of Humans Service, HP, ITD, National Guard, Office of the Governor, Office of Management and Budget (OMB), RM, State Radio, State Water Commission (SWC), University System (NDSU & UND), WSI	Initially meet weekly and contributed the types of information needed by agencies in the COOP process. Also serve as the trial group to work out the deficiencies in the prototype and meet periodically as a User Group.
Project Work Group	DEM, DOH, ITD, RM	Staff from these agencies to do the actual customization of the software.
RFP Review Team	DOH, DOT, ITD, RM, WSI	Reviewed the software proposals that companies submitted and gave recommendation to COG Team.
Asset Development Team	AG, Bank of ND, DEM, DOT, HP, ITD, OMB, RM, SWC	Sub-group that was formed from the Project Pilot Team to explore and decide how asset should be handled.
State Agencies	All State Agencies	Every agency will need to develop a continuity of operations plan.
IT System Administration	ITD	Staff from ITD will oversee the acquisition and installation of the COG server, security and maintenance for the system, web site development and maintenance and large project oversight.

The following chart details the stakeholders and responsibilities of those people.

Role	*Name*	*Entity*	*Formal Review*	*Informal Review*	*Provide Information*	*Supply Resources*	*Assist*
Executive Sponsor	Johanna M. Zschomler, Chair of COG Team	Risk Management	X	X	X	X	X
COG Team	Bill Goetz	Office of the Governor	X				
	Lance Gaebe	Office of the Governor	X		X		
	Russ Timmreck	Emergency Management	X	X	X		
	Rick Robinson	Emergency Management	X		X		
	Janell Quinlan	Emergency Management	X	X	X	X	X
	Mark Bethke	Highway Patrol	X		X		
	Bryan Klipfel	Highway Patrol	X		X		
	Tim Wiedrich	Department of Health	X		X		
	Arvy Smith	Department of Health	X		X		
	Curt Wolfe	Information Technology	X		X		
	Mike Ressler	Information Technology	X		X		
	Larry Lee	Information Technology	X	X	X	X	X
	John Boyle	Facility Management	X		X		
	Loren Haid	Facility Management	X		X		
	Johanna Zschomler	Risk Management	X	X	X	X	X
	Renae Heller	Risk Management	X	X	X	X	X
Project Manager	Janell Quinlan	DEM	X	X	X	X	X
Project Work Group	Janell Quinlan	DEM	X	X	X	X	X
	Diane Laub	DOT	X	X	X	X	X
	Larry Lee	ITD	X	X	X	X	X
	Renae Heller	RM	X	X	X	X	X
Oversight Analysts	Phil Miller/ Jennifer Kunz	ITD	X				

Role	Name	Entity	Formal Review	Informal Review	Provide Information	Supply Resources	Assist
Project Pilot Team	Cher Thomas	Attorney General		X	X	X	X
	Sue Seminary	Bank of ND		X	X	X	X
	Barry Stein	Department of Health		X	X	X	X
	Krista Andrews	Dept. of Human Services		X	X	X	X
	Diane Laub	Dept. of Transportation		X	X	X	X
	Janell Quinlan	Emergency Management		X	X	X	X
	Gordon LaFrance	Highway Patrol		X	X	X	X
	Larry Lee	Information Technology		X	X	X	X
	Neil Hutchinson	National Guard		X	X	X	X
	Brian Bartz	Office of Management & Budget		X	X	X	X
	Lance Gaebe	Office of the Governor		X	X	X	X
	Renae Heller	Risk Management		X	X	X	X
	Jim Lueder	State Radio		X	X	X	X
	LeNor Dollinger	State Water Commission		X	X	X	X
	Ray Boyer	University System - NDSU		X	X	X	X
	Gina Haugen	University System - NDSU		X	X	X	X
	Jason Uhlir	University System - UND		X	X	X	X
	Steve Vaughn	Workforce Safety & Insurance		X	X	X	X
RFP Review Committee	Tim Wiedrich	DOH	X	X	X		
	Doug Faiman	DOT	X	X	X		
	Dean Glatt	ITD	X	X	X		
	Larry Lee	ITD	X	X	X		
	Mike Ressler	ITD	X	X	X		
	Jo Zschomler	RM	X	X	X		
	Pat Kelly	WSI	X	X	X		

Role	Name	Entity	Formal Review	Informal Review	Provide Information	Supply Resources	Assist
IT System Administration Group	Duane Schell						
	Dan Sipes						
	Darrell Slag						
	Josh Ternes						
	Al Veit						
	Jenny Witham						

Project Risks

As with any new project there are risks. Below are some of the identified risks and processes to help manage and mitigate the risks.

Project Constraints

There are several project constraints. First there is no designated budget for this project. The funding for this project is expected to come from multiple sources. There will be competition for Homeland Security Grants to get additional funding to assist in purchasing, hosting, and maintaining software along with training. The agencies will have to incur expenses to develop their plans.

A second project constraint is the lack of designated full time staff to see to the development and implementation of this project. The Governor's appointed COG Team members will need to assign staff to work on this project.

A third project constraint is the interdependence with Connect ND. Time estimates for this project is dependent that Connect ND will meet their schedule so information will be available for importing.

Project Risk Management

Project Risk Management is an iterative process to be applied during the whole life cycle of the project in order to reflect its evolution and to verify the implementation of the risk reduction actions. Risk is made up of two components: (1) The probability that a project will experience an undesired event such as cost overrun, schedule slippage, safety mishap and failure, and (2) The consequence, impact or severity of the undesired event.

Risks for the Continuity of Operations Planning System Project and the actions to be taken are listed below:

	Risk	Risk Assignment	Risk Response Plan
1	Software deficiencies affecting customizing.	Project Work Group	Work with Strohl Systems to identify problem and implement patch.
2	System Integration with PeopleSoft fails or becomes ineffective.	Project Work Group/IT System Administration Group	Work with the Connect ND developers and Strohl Systems to ensure everything is technically in pass for accurate importing.
3	Delayed release of the LDRPS web version hinders the access for some state agencies that are outside the state network's firewalls.	Project Work Group/IT System Administration	Identify alternate methods of accessing the LAN and work with Strohl Systems to install web version upon release.

Supplementary Management Plans

Overall Change Control Process

The Project Manager will provide oversight for all potential and actual changes to the Project, particularly to the Project Scope, Schedule or Costs. A 'change' is defined as a variance from the originally defined Project Scope (Scope Statement), Schedule, or Costs. Project Changes are managed through the Project Change Control Process:

- The Project Manager will proactively monitor the following areas on a weekly basis: the project objectives and deliverables defined in the Scope Statement, the Project Schedule, and the Project Costs. In addition, Project Status Reports will be prepared on a quarterly basis for the COG Team.

- Potential changes to the Project Scope, Schedule, or Costs must be identified and reviewed by the Project Manager. Any subsidiary impacts must also be closely analyzed.

- If changes to the Project Scope, Schedule or Costs must occur, they need to be documented in a Change Control Form (see Appendix II) by the Project Manager and if necessary (according to the project manager's discretion), approved the COG Team.

- Any change request that has significant impact to the project be it time, cost, or resources, will be escalated to the project sponsor for formal approval.

Communications Management Plan

The purpose of a Communications Management Plan is to determine and document the information and communications needs of stakeholders. This includes who needs what information and when they will need it. The expected communications for this project are attached below.

Description of Communication	**To Whom / Stakeholders Involved**	**Frequency**	**Facilitator (s)**
Project Pilot Team Meetings	Project Pilot Team	Initially on a weekly basis and then as needed	Project Manager
COG Meeting	COG Team	At least quarterly, more often if issues require it	COG Chairperson
Project Status Review Meetings	Project Work Group and COG Chairperson	Weekly and more often if issues require it	Project Work Group and COG Chairperson
Project Status Reports	Governor, COG Team, Project Pilot Team, State Agencies, IT Legislative Committee	At least quarterly, more often if issues require it	Project Manager and COG Chairperson
Strohl Systems Implementation Assistance Conference Calls	Project Work Group and COG Chairperson	As issues require	Project Work Group and COG Chairperson
Strohl's User Group Meetings	Project Work Group and COG Chairperson	09/27/03-10/01/03 and TBD	Project Work Group and COG Chairperson

The project manager will manage project communications, with electronic records stored in a folder on the Information Technology Department's network, and paper records stored in a filing system maintained by the project manager. At the close of the project, electronic documents will be permanently archived to a CD-Rom and filed with the paper documents. The documents will be maintained for the appropriate records retention schedule.

This communications management plan will be modified on an as needed basis to meet the changing communications needs of stakeholders. The project manager will regularly discuss communications needs in the meetings named in the plan.

Issue Management Process

A Project Issue is defined as a question or problem that in order to be resolved, a decision must be made by the Project Manager, Project Work Group and/or the COG Team.

Issues are closely related to risks, as they are often the result of an actual occurrence of an anticipated risk event. Therefore, proactive risk management on a project should reduce the number of Project Issues that occur.

If a Project Issue is identified, a Project Issue Form (see Appendix III) should be completed by the project manager and documented in the Issue Log. It is critical to define the 'Actions Necessary for Closure' for each Issue, so that action steps are defined and completed.

Quality Management Plan

The purpose of the Quality Management Plan is to determine and document how the project manager will implement processes for project quality control, quality assurance, and quality improvement.

In this project, Quality Control will be performed by monitoring specific project results to determine if they meet the expectations of project stakeholders. The Project Manager will supervise this by reviewing the completed project deliverables with the Project Work, Project Pilot Team and/or COG Team (and others when appropriate).

Quality Assurance will be performed by reviewing quality management activities, namely through quality audits. This is necessary to provide an ongoing effort of reviewing project quality, and to identify areas of Quality Improvement.

Quality Improvement includes taking action to increase the effectiveness and efficiency of the project to provide added benefits to the project stakeholders. In most cases, implementing quality improvements will require preparation of Change Control Forms or taking other appropriate corrective actions.

Staffing Management Plan

The Staffing Management Plan describes when and how human resources will be brought onto and taken off of the project team.

It was determined that a project manager was needed to oversee this project with the multitude of agencies involved. The position of ND COG/COOP Project Manager was developed. It was decided that DEM would provide a staff member to serve as the project manager to see that the directives of the COG Team are met. This person works with the Strohl Systems staff, each state agency, sets up training, develops reports, keeps project and budget on schedule and oversees the Project Work Group and Project Pilot Team.

The need to have a project pilot team that could offer information on what the special needs of agencies are so they can be addressed in customized software was identified. A project pilot team was made up of seventeen state agencies from small and large agencies that had some unique requirements or concerns in the areas of financial expertise, legal, security,

infrastructure, public services, equipment, IT, elected and appointed personnel. The Project Pilot Team serves as the trial group to work out the deficiencies in the prototype and will meet periodically as a User Group.

It was determined that the Project Manager needed a working group to assist with the customizing of the software. Staff was assigned to this group from DOT, IT, and RM along with the Project Manager.

Each state agency is responsible to identify personnel to serve as LDRPS System Administrator(s) for their agency. These people will serve as contacts with the Project Manager to identify training needs. These people will be tasked with working with the appropriate people in their agency to determine security and access issues and ensure that the deadlines for completion are met for their agency.

Project Plan Approvals

Role	Name	Signature	Date
Project Sponsor	Johanna M. Zschomler, Chair of COG Team		
Project Manager	Janell Quinlan		
ITD Project Oversight Anaylst	Philip Miller		

Appendices

Appendix I - Activity Details

The purpose of this section is to assist with further planning and definition of identified project activities, and to provide historical documentation of those activities. This is accomplished by adding detail to the activities identified in the Project Schedule. These details are often times not available when the Project Plan is first developed, but become clearer as the planned start date approaches for each project activity. Therefore, this section of the Project Plan is continually updated and revised.

It is important to note that if any planning/detailing of activities within this section poses a change to the Project Schedule, proper steps should be taken according to the Schedule Management Plan to ensure change control.

Appendix I – A Continuum of Government Master Budget Draft 10/06/03

Appendix II - Project Change Control Form

Project Change Control Form

Change Order No.

Date Received:

Requestor's Name:

Phone No:

This analysis establishes how the request changes would be implemented and if the project time frame, cost, and/or resource assignments would be impacted.

Analysis Comments:

The change request will affect the original project plan's cost as follows:

The change request will affect the original project plan's delivery date as follows:

The change request will affect the original project plan's resource assignment schedule as follows:

I authorize the changes listed in this Change Order to be made.		
PRJ. MANAGER SIGNATURE		**Date**
PROJECT OVERSIGHT COMMITTEE MEMBER SIGNATURE		**Date:**

Appendix III – Project Issue Form

Project Issue Form

Phase:		**Issue Number:**
Assigned To:		**Initiated By:**
Status:		**Date Initiated:**
Due Date:		**Last Updated:**

DESCRIPTION

IDENTIFY SPECIFICS (LIST THE FACTS)

ALTERNATIVES AND IMPACTS

RECOMMENDATIONS

ACTION REQUIRED FOR CLOSURE
